

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                                 |   |                        |
|---------------------------------|---|------------------------|
| In re application of            | : | Group Art Unit:        |
| Carl Phillip Gusler             | : |                        |
| Rick Allen Hamilton, II         | : |                        |
| Timothy Moffett Waters          | : |                        |
|                                 | : | Intellectual Property  |
| Serial No.:                     | : | Law Department         |
| Filed:                          | : | International Business |
|                                 | : | Machines Corporation   |
|                                 | : | 11400 Burnet Road      |
|                                 | : | Austin, Texas 78758    |
| Title: Employing Speech         | : |                        |
| Recognition and Key Words to    | : |                        |
| Improve Customer Service        | : |                        |
| IBM Docket No.: AUS920010967US1 | : |                        |

## INFORMATION DISCLOSURE STATEMENT

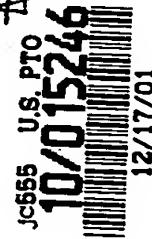
Assistant Commissioner of Patents  
Washington, D. C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

While this Information Disclosure Statement may be

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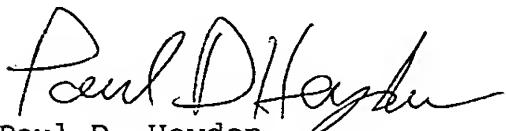
"material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56 (a) exists.

The attached forms, PTO/SB/08A and 08B, provide a listing of patents, publications, or other information as required by 37 CFR 1.98 (a)(1).

A copy of each of the items on PTO/SB/08A and 08B is supplied herewith.

Respectfully submitted,



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| Substitute for form 144SA/PTO                            |  |    |  | <b>Complete If Known</b> |                 |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b> |  |    |  | Application Number       |                 |
|  |  |    |  | Filing Date              |                 |
|  |  |    |  | First Named Inventor     | C. Gusler       |
|  |  |    |  | Group Art Unit           |                 |
|  |  |    |  | Examiner Name            |                 |
|  |  |    |  | Attorney Docket Number   | AUS920010967US1 |
| Sheet  |  | of |  |                          |                 |



## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Aplicard is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

## Complete if Known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

Application Number

Filing Date

First Named Inventor

C. Gusler

Group Art Unit

Examiner Name

Sheet

of

Attorney Docket Number

AUS920010967US1

12/17/01

## CITATION PART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials <sup>1</sup> | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
|--------------------------------|-----------------------|---|
|                                |                       | PHILLIPS, "VoiceXML and the Voice / Web Environment:  |
|                                |                       | Visual Programming Tools for Telephone Application  |
|                                |                       | Development," <u>Dr. Dobb's Journal</u> , Vol. 26, Issue 10,  |
|                                |                       | pages 91 - 96, October 2001.  |
|                                |                       |   |
|                                |                       |   |
|                                |                       | NUANCE COMMUNICATIONS, <u>The Business Case for Speech</u>  |
|                                |                       | <u>Recognition</u> , 2000 (White paper available at   |
|                                |                       | <u>www.nuance.com</u> ).  |
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Examiner  
SignatureDate  
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